



MAR 19 2002

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/001,900	11/14/2001	Steven M. Bloom	09857-073001

CONFIRMATION NO. 8995

**COPY OF PAPERS  
ORIGINALLY FILED**

DENIS G. MALONEY  
Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110-2804

## FORMALITIES LETTER



\*OC000000007233756\*

Date Mailed: 12/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

03/21/2002 TBESHAH1 00000003 10001900

01 FC:101  
02 FC:105

740.00 OP  
130.00 OP

**Filing Date Granted**

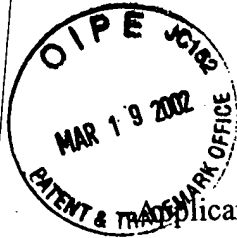
An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

*A copy of this notice **MUST** be returned with the reply.*

*mar*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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MAI

MPG  
Attorney's Docket No.: 09857-073001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom, Michael S.  
Spector and John L. Jacobs

Art Unit : 2164  
Examiner : Unknown

Serial No. : 10/001,900

Filed : November 14, 2001

Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed December 27, 2001 (copy enclosed), applicant as a large entity submits herewith the following:

- ☒ Payment of the basic filing fee of \$740;
- ☒ Payment of the surcharge of \$130 for late filing of the basic filing fee and/or declaration;
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;
- ☒ Notice to File Missing Parts;
- ☒ Petition for a One Month Extension of Time;
- ☒ Payment of the \$110 extension fee; and
- ☒ Postcard.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

March 11, 2002  
Date of Deposit  
Lenora H. Francis  
Signature

LENORA H. FRANCIS  
Typed or Printed Name of Person Signing Certificate

Applicant : Steven M. Bloom, Michael S. Spector and  
John L. Jacobs  
Serial No. : 10/001,900  
Filed : November 14, 2001  
Page : 2

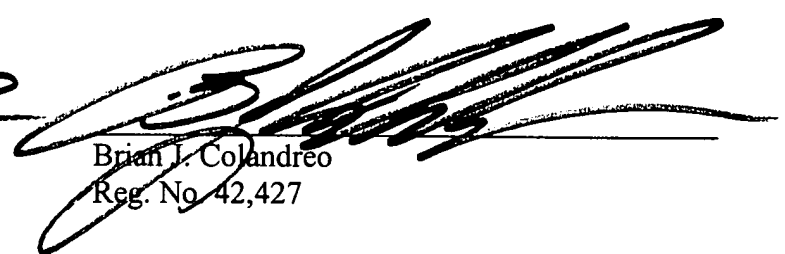
Attorney's Docket No.: 09857-073001

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

MARCH 11, 2002



Brian J. Colandreo  
Reg. No. 42,427

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